

AMENDMENTS TO THE CLAIMS

This listing of claims will replace all prior versions, and listings, of claims in the Application:

Listing of Claims:

1. (Previously presented) A computer-implemented method for processing restricted securities trades via a communications network, the method comprising:

receiving data relating to restrictions associated with the trade of a security;

receiving electronic verification that the data is correct;

automatically generating documentation supportive of the trade wherein the generated documents include at least a legal opinion indicating whether or not the trade restrictions have been satisfied; and

receiving an electronic signature to execute the generated documents.
2. (Previously presented) The method of claim 1 wherein the trade comprises a simple restricted sale.
3. (Previously presented) The method of claim 1 additionally comprising the step of transmitting an instruction to execute the trade.
4. (Previously presented) The method of claim 3 additionally comprising forwarding trade information to a clearing house.
5. (Previously presented) The method of claim 1 wherein the data relating to the restrictions comprises a checklist of questions related to restrictions.
6. (Previously presented) The method of claim 1 wherein the generated documentation comprises a seller's letter.

7. (Previously presented) The method of claim 1 wherein the generated documentation comprises a broker's letter.

8. (Cancelled)

9. (Previously presented) The method of claim 1 additionally comprising the step of receiving edits to the generated documentation.

10. (Previously presented) The method of claim 1, wherein the trade of a security is based on at least on physical restricted security, and the method also comprises the step of transmitting an instruction to a transfer agent to convert the at least one physical restricted security into an electronic format.

11. (Previously presented) The method of claim 10, additionally comprising the step of receiving notification that the at least one physical restricted security has been converted.

12. (Previously presented) A computer system for facilitating trading of a restricted security, the system comprising:

a computer server accessible with a network access device via a communications network; and

executable software stored on the server and executable on demand, the software operative with the server to cause the system to:

transmit data relating to a restricted securities trade;

receive a legal opinion document related to the trade;

receive electronic authorization to proceed with the trade; and

transmit a command to execute the trade.

13. (Previously presented) The computer communications system of claim 12 wherein the network access device comprises a computer.

14. (Previously presented) The computer communications system of claim 12 wherein the computer communication network conforms to the transmission control protocol/internet protocol.

15. (Previously presented) The computer communications system of claim 12 wherein the communication network comprises an intranet.

16. (Previously presented) Computer executable program code residing on a computer-readable medium, the program code comprising instructions for causing the computer to:

- transmit data relating to a restricted securities trade;
- receive a Legal Opinion related to the trade;
- receive electronic authorization to proceed with the trade; and
- transmit a command to execute the trade.

17. (Previously presented) A method of interacting with a network access device in order to complete an online transaction, the method comprising the steps of:

- initiating interaction with a host computer via a communications network;
- transmitting data related to a trade involving a restricted security;
- receiving documentation related to the trade of the restricted security, wherein the received documents include at least a legal opinion indicating whether or not the trade restrictions have been satisfied; and
- transmitting electronic authorization to conduct the trade.

18. (Previously presented) The method of claim 17 additionally comprising the step of viewing a data stream content via a graphical user interface.

19. (Cancelled)

20. (Previously presented) The method of claim 17 wherein the generated documentation comprises a broker's letter.

21. (Previously presented) The method of claim 17 wherein the generated documentation comprises a seller's letter.

22. (Currently amended) A computer instruction signal-embodied in a digital data stream comprising data relating to restricted security trading, wherein the computer instruction signal is generated by a method comprising the steps of:

- transmit data relating to a restricted securities trade;
- receive a legal opinion document related to the trade;
- receive electronic authorization to proceed with the trade; and
- transmit a command to execute the trade.

23. (Currently amended) A computer instruction data signal as in claim 22 wherein the instruction signal generated adheres to the transmission control protocol/internet protocol.